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| <b>Management System: Records Management</b>   |  |  |   |
| <b>Subject Area: Records Management</b>  |  |  |   |
| <b>Procedure: Identifying, Filing, and Maintaining Paper Records</b>   |  |  |   |
| <table border="1"><tr><td><b>Issue Date and Revision Number:</b><br/>4/17/13            0</td><td><b>Lead Subject Matter Expert:</b><br/>Jackie Schoultheis or Kathy Reid</td><td><b>Management System Owner:</b><br/>John Sattler</td></tr></table> | <b>Issue Date and Revision Number:</b><br>4/17/13            0         | <b>Lead Subject Matter Expert:</b><br>Jackie Schoultheis or Kathy Reid | <b>Management System Owner:</b><br>John Sattler |
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## 1.0 Applicability

This procedure applies to all Environmental Management Consolidated Business Center (EMCBC) organizations and may be adopted by an Environmental Management (EM) small site or supported site, at their discretion.

## 2.0 Required Procedure

The purpose of this procedure is to establish a process for identifying, filing, and maintaining Federal records generated and received by the EMCBC in paper format. Federal agencies are required to create and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures and essential transactions.

▲ Note: Clarifying terms if adopted by an EM small site:

- Records Coordinator (RC) replaces the term Record Custodian (RC).
- Small sites Records Management Field Officer (RMFO) replaces the term RMFO.
- Site File Plan replaces the term Master File Plan (MFP).

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| <b>Step 1</b> | <p><b>Employee</b> reviews each document created and/or received to determine whether it is record or non-record material (See Attachment 1: “Is it a Record?” for additional guidance).</p> <p>Determining whether a particular document is a record does not depend on whether it is an original or a copy. Several copies of a single form may each have record status, as each serves as a separate administrative purpose. Multiple copies of a single document may also be records, if they are arranged according to a different filing system or serve a separate purpose.</p> |
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|               | <p>▲ Notes:</p> <ul style="list-style-type: none"> <li>• Non-record material and personal documents needed for reference shall be identified and maintained separately from records.</li> <li>• See Attachment 2: “Working Papers Quick Reference Guide” for additional guidance on handling working papers (e.g., drafts, notes, etc.).</li> <li>• See Attachment 3: “Photographic Guidance” for additional guidance on handling photographs.</li> <li>• Contact your organizational RC or RMFO if there are questions concerning whether a document is a record.</li> <li>• At the point of record identification, the employee becomes the Record Holder (RH) for the record(s).</li> </ul>   |
| <b>Step 2</b> | <p><b>RH</b> determines the proper record category code by referring to the organizational file plan. Documents are filed based on record subject/content.</p> <p>▲ Note: Contact your organizational RC or RMFO for assistance with determining the appropriate record category code or if a new record category code needs to be added to the organizational file plan.</p>  |
| <b>Step 3</b> | <p><b>RH</b> determines if record requires special handling:</p> <ul style="list-style-type: none"> <li>• Records containing Official Use Only(OUO), Unclassified Controlled Nuclear Information (UCNI), Unclassified Controlled Information (UCI), Personally Identifiable Information (PII) or other special markings; shall be identified, labeled, and filed in accordance with the applicable DOE directives (see References 1-3).</li> <li>• The EMCBC (Cincinnati, Ohio office) and most small sites do not maintain classified records. Classified records are controlled and maintained at the EMCBC Lakewood, Colorado office.</li> <li>• Sensitive information requires proper protection and cannot be stored in an open central file area.</li> </ul> |
| <b>Step 4</b> | <p><b>RH</b> to work with the <b>Quality Assurance (QA) Records Coordinator</b> to ensure QA records are properly identified within procedures and furnish documentary evidence that items or activities meet specified quality requirements. The QA Records Coordinator reviews and assists the RH in classifying QA records as lifetime or nonpermanent. See Attachment 4: “Is Your Record a Quality Assurance (QA) Record?” See Procedure IP-414-04 “<i>Quality Assurance Records</i>” (See Reference 4) for additional requirements for the identification</p>   |

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|                | <p>and maintenance of QA records.</p> <p>QA classifications shall be noted on the organizational file plan. If it is not noted, contact the <b>RMFO</b> to ensure the organizational file plan is updated accordingly.</p> <p>▲ Note: Each of the organizational file plans makes up the EMCBC MFP.</p>   |
| <b>Step 5</b>  | <p><b>RH</b> forwards records to the <b>RC</b> for centralized filing, if applicable.</p> <p><b>NOTE:</b> If records are to be maintained in an individual's office (decentralized filing), the <b>RC</b> must be notified to ensure the location is updated in the Electronic Records Management System (ERMS) (see Step 7).</p> <p>▲ Note: <b>RC</b> to notify <b>RM</b> staff of changes until <b>RC</b> is trained to make changes in ERMS.</p>   |
| <b>Step 6</b>  | <p><b>RHs and/or RCs</b> create and maintain file folders for every file code/subject or case file created or received. See Attachment 5: "Guidelines for Managing Paper Records" for guidelines on the management of paper records.</p> <p>▲ Note: Only active records should be maintained in centralized/decentralized filing. See Records Management Procedure "<i>Transferring Inactive Paper Records to Records Holding Area / Records Storage</i>".</p>  |
| <b>Step 7</b>  | <p><b>RH and/or RC</b> shall notify the <b>RM Staff</b> and/or <b>RMFO</b> of any new folders created. Folder metadata is then entered into the ERMS. Metadata includes complete folder title, folder owner, location, etc.</p> <p>▲ Note: <b>RC</b> will be responsible for this step at some point in the future.</p>   |
| <b>Step 8</b>  | <p>When <b>employee</b> removes paper record files and forwards to an individual or office, a record of such loan shall be made. <b>Employee</b> shall work with the <b>RC</b> to complete a Charge-Out Record card. See Attachment 6: "Charge-Out Record Card".</p> <p>The Charge-Out Record card shall be filled out and placed in the folder or file drawer in place of the withdrawn material. Place the Charge-Out Record card at the exact location of the withdrawn material with the "OUT" portion clearly visible.</p> |
| <b>Step 9</b>  | <p>The <b>RC</b> or <b>RH</b> shall review the Charge-Out Record cards periodically and request the return of records that have been charged out for at least 6 months. When the material is returned to the file, remove the Charge-Out Record card and draw a line through the entry indicating the change.</p>   |
| <b>Step 10</b> | <p><b>RC</b> shall notify the <b>RMFO</b> prior to an employee terminating. Records maintained by the departing <b>RH</b> must be reassigned to a new <b>RH</b> (or <b>RC</b>) prior to terminating/transfer.</p> <p><b>RC</b> shall remind terminating/transferring employee that Federal records may</p>  |

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|                | not be removed from the EMCBC, even if transferring to a site supported by the EMCBC.  |
| <b>Step 11</b> | <b>RHs</b> works with the <b>RC and/or RMFO</b> to transfer records to storage as records become inactive (past cutoff as noted on the organizational file plan) [See Records Management Procedure “ <i>Transferring Inactive Paper Records to Records Holding Area / Records Storage</i> ”. |

### 3.0 References – Forms/Attachments/Exhibits

#### 3.1 References

- IP-414-04, “*Quality Assurance Records*”
- Records Management Procedure: “*Transferring Inactive Paper Records to Records Holding Area / Records Storage*”

#### 3.2 Attachments

- Attachment 1: Is it a Record?
- Attachment 2: Working Papers Quick Reference Guide
- Attachment 3: Photograph Guidance
- Attachment 4: Is Your Record a Quality Assurance (QA) Record?
- Attachment 5: Guidelines for Managing Paper Records
- Attachment 6: Charge-Out Record Card

### 4.0 Records Generated

No new records are generated as a result of implementing this procedure; however, this procedure details the identification and filing for most all of the day-to-day paper records generated/received at the EMCBC.

## **EMCBC RECORD OF REVISION**

**DOCUMENT TITLE: Identifying, Filing, and Maintaining Paper Records**

If there are changes to the controlled document, the revision number increases by one. Indicate changes by one of the following:

- I** Placing a vertical black line in the margin adjacent to sentence or paragraph that was revised.
- I** Placing the words GENERAL REVISION at the beginning of the text.

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| <b>Rev. No.</b> | <b>Description of Changes</b>                       | <b>Revision on Pages</b> | <b>Date</b> |
|-----------------|---|--------------------------|-------------|
| 0               | N/A 1 <sup>st</sup> Edition to meet EMCBC MS needs. | N/A                      | 4/17/13     |